



STATEMENT UNDER 37 CFR 3.73(b)

Applicant: **David F. Bocian, et al.**

Application No.: **10/040,059**

Filed: **October 26, 2001**

Entitled: **FORMATION OF SELF-ASSEMBLED MONOLAYERS OF REDOX SAMs ON SILICON FOR MOLECULAR MEMORY APPLICATIONS**

The Regents of the University , a
of California

University

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. the assignee of the entire right, title, and interest; or
2. an assignee of an undivided part interest

in the patent application identified above by virtue of either:

A. [X] An assignment from the inventor(s) of the patent application identified above. The assignment was recorded in the Patent and Trademark Office at Reel __, Frame __, or for which a copy thereof is attached.

OR

B. [] A chain of title from the inventor(s), of the patent application identified above, to the current assignee as shown below:

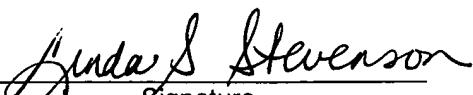
1. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at Reel __, Frame __, or for which a copy thereof is attached.
2. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at Reel __, Frame __, or for which a copy thereof is attached.
3. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at Reel __, Frame __, or for which a copy thereof is attached.

[] Additional documents in the chain of title are listed on a supplemental sheet

[X]Copies of assignments or other documents in the chain of title are attached.

The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of the assignee.

Date


Signature

Linda S. Stevenson

Typed or printed name

Manager, Patent Prosecution

Title

O I P E
APR 29 2002
U.S. PATENT & TRADEMARK OFFICE
SC117

I hereby certify that this correspondence is being
deposited in the United States Postal Service as
first class mail in an envelope addressed to:
Assistant Commissioner for Patents,
Attn: Box Missing Parts,
Washington, D.C. 20231, on April 19, 2002

QUINE INTELLECTUAL PROPERTY LAW GROUP P.C.

By Chianti Appling

Chianti Appling

Attorney Docket No. 407T-300800US
Client Ref. 2001-473-1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

David F. Bocian et al.

Examiner: Unassigned

Application No.: 10/040,059

Art Unit: 2618

Filed: October 26, 2001

TRANSMITTAL LETTER - RESPONSE
TO NOTICE OF MISSING PARTS

For: **FORMATION OF SELF-ASSEMBLED
MONOLAYERS OF REDOX SAMs ON
SILICON FOR MOLECULAR MEMORY
APPLICATIONS**

Attn: Box Missing Parts
Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

Pursuant to the "Notice to File Missing Parts of Application - Filing Date Granted" dated *March 22, 2002*, enclosed are the following to be made of record in the above-identified application:

05/16/2002 SSALEEKU 0000007 500893 10040059 Executed Declaration
01 FC:105 130.00 CH 2) Power of Attorney and Certificate of Assignee Under 37 C.F.R. § 3.73(b)
Adjustment date: 05/14/2002 SSALEEKU
05/01/2002 BABRAHAI 00000093 500893 10040059 (+ copy of Assignment - not for recordation-note: The Assignment for
01 FC:205 65.00 CR recordation is being sent concurrently under separate cover to Box
Assignment, pursuant to the MPEP @ Page 300-M and Form PTO-
1619A)
3) Copy of Notice of Missing Parts
4) Fee transmittal sheet
05/01/2002 BABRAHAI 00000093 500893 10040059
01 FC:205 65.00 CH

- 5) Transmittal Sheet
- 6) Receipt indication postcard

Please charge Deposit Account No. 50-0893 for the following fees:

| | | |
|---------------|----------------------------------------------------------|------------------------|
| Large entity: | (a) Filing Fee (§ 1.16(a)) (Large Entity) | \$ |
| | (b) Excess Claims Fees (§ 1.16(b), (c)): | |
| | $\underline{\quad} - 20 = \underline{\quad} \times 18 =$ | \$ $\underline{\quad}$ |
| | $\underline{\quad} - 3 = \underline{\quad} \times 84 =$ | \$ $\underline{\quad}$ |
| | (c) Missing Parts Surcharge | \$ 65.00 |
| | TOTAL FEES TO BE CHARGED | \$ <u>65.00</u> |

The Commissioner is hereby authorized to charge any additional fees associated with this paper or during the pendency of this application, or credit any overpayment, to Deposit Account No. 50-0893.

Respectfully submitted,



Tom Hunter, J.D., Ph.D.
Reg. No. 38,498

QUINE INTELLECTUAL PROPERTY LAW GROUP, P.C.
P.O. BOX 458
Alameda, CA 94501
(510) 337-7871
Fax (510) 337-7877

Please type a plus sign (+) inside this box → **+**

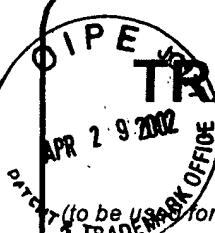
(Modified) PTO/SB/21 (6-98)
Approved for use through 09/30/2000. OMB 0651-0031
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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03 CO 8
44

TRANSMITTAL FORM

(to be used for all correspondence after initial filing)



Total Number of Pages in This Submission

| | |
|------------------------|------------------|
| Application Number | 10/040,059 ✓ |
| Filing Date | October 26, 2001 |
| First Named Inventor | David F. Bocian |
| Group Art Unit | 2818 |
| Examiner Name | Unassigned |
| Attorney Docket Number | 407T-300800US |

ENCLOSURES (check all that apply)

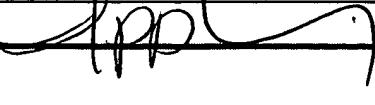
| | | |
|-----------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------|
| <input checked="" type="checkbox"/> Fee Transmittal Form | <input checked="" type="checkbox"/> Assignment Papers (for an Application) | <input type="checkbox"/> After Allowance Communication to Group |
| <input type="checkbox"/> Fee Attached | <input type="checkbox"/> Drawing(s) | <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences |
| <input type="checkbox"/> Amendment / Response | <input type="checkbox"/> Licensing-related Papers | <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) |
| <input type="checkbox"/> After Final | <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition | <input type="checkbox"/> Proprietary Information |
| <input type="checkbox"/> Affidavits/declaration(s) | <input type="checkbox"/> Petition to Convert to a Provisional Application | <input type="checkbox"/> Status Letter |
| <input type="checkbox"/> Extension of Time Request | <input checked="" type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address | <input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below): |
| <input type="checkbox"/> Express Abandonment Request | <input type="checkbox"/> Terminal Disclaimer | <input type="checkbox"/> receipt acknowledgment postcard |
| <input type="checkbox"/> Information Disclosure Statement | <input type="checkbox"/> Small Entity Statement | <input type="checkbox"/> Copy of Notice to File Missing Parts |
| <input type="checkbox"/> Certified Copy of Priority Document(s) | <input type="checkbox"/> Request for Refund | |
| <input type="checkbox"/> Response to Missing Parts/ Incomplete Application | | |
| <input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | | |
| | Authorization to Charge Deposit Account Please charge Deposit Account No. 50-0893 for any additional fees associated with this paper or during the pendency of this application, including any extensions of time for consideration of the documents enclosed. | |
| | Remarks | |

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

| | |
|-------------------------|-------------------------------------------------------------------------------------|
| Firm or Individual name | Tom Hunter, Reg. No. 38,498, Quine Intellectual Property Law Group P.C. |
| Signature |  |
| Date | April 19, 2002 |

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: **April 19, 2002**

| | | | |
|-----------------------|-------------------------------------------------------------------------------------|------|----------|
| Typed or printed name | Chianti Appling | Date | 04/19/02 |
| Signature |  | | |

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FEE TRANSMITTAL for FY2002

Patent fees are subject to annual revision.
 Small Entity payments must be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB/09-12.
 4 TRADE

TOTAL AMOUNT OF PAYMENT (\$)

| Complete If Known | |
|----------------------|------------------|
| Application Number | 10/040,059 |
| Filing Date | October 26, 2001 |
| First Named Inventor | David F. Bocian |
| Examiner Name | Unassigned |
| Group / Art Unit | 2818 |
| Attorney Docket No. | 407T-300800US |

METHOD OF PAYMENT (check one)

1. The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number **50-0893**
 Deposit Account Name Quine Intellectual Property Law Group, P.C.

Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

2. Payment Enclosed:
 Check Money Order Other

FEE CALCULATION

1. BASIC FILING FEE

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description | Fee Paid |
|----------------------------|----------------------------|------------------------|----------|
| 101 740 | 201 370 | Utility filing fee | |
| 106 310 | 206 155 | Design filing fee | |
| 107 480 | 207 240 | Plant filing fee | |
| 108 690 | 208 345 | Reissue filing fee | |
| 114 150 | 214 80 | Provisional filing fee | |

SUBTOTAL (1) (\$)

2. EXTRA CLAIM FEES

| Extra Claims | Fee from below | Fee Paid |
|-------------------------------|----------------|-------------------------|
| Total Claims 20** | = 20 | X 10 = 10 |
| Independent Claims 3** | = 3 | X 10 = 30 |
| Multiple Dependent | | |

**or number previously paid, if greater; For Reissues, see below

Large Entity Small Entity

| Fee Code (\$) | Fee Code (\$) | Fee Description | Fee Paid |
|---------------|---------------|------------------------------------------------------------|----------|
| 103 18 | 203 9 | Claims in excess of 20 | |
| 102 84 | 202 42 | Independent claims in excess of 3 | |
| 104 280 | 204 140 | Multiple dependent claim, if not paid | |
| 109 78 | 209 39 | ** Reissue independent claims over original patent | |
| 110 18 | 210 9 | ** Reissue claims in excess of 20 and over original patent | |

SUBTOTAL (2) (\$)

3. ADDITIONAL FEES

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description | Fee Paid |
|----------------------------|----------------------------|----------------------------------------------------------------------------|----------|
| 105 130 | 205 65 | Surcharge - late filing fee or oath | 65.00 |
| 127 50 | 227 25 | Surcharge - late provisional filing fee or cover sheet | |
| 139 130 | 139 130 | Non-English specification | |
| 147 2,520 | 147 2,520 | For filing a request for reexamination | |
| 112 920* | 112 920* | Requesting publication of SIR prior to Examiner action | |
| 113 1,840* | 113 1,840* | Requesting publication of SIR after Examiner action | |
| 115 110 | 215 55 | Extension for reply within first month | |
| 116 400 | 216 200 | Extension for reply within second month | |
| 117 920 | 217 460 | Extension for reply within third month | |
| 118 1,440 | 218 720 | Extension for reply within fourth month | |
| 128 1,960 | 228 980 | Extension for reply within fifth month | |
| 119 320 | 219 160 | Notice of Appeal | |
| 120 300 | 220 150 | Filing a brief in support of an appeal | |
| 121 260 | 221 130 | Request for oral hearing | |
| 138 1,510 | 138 1,510 | Petition to institute a public use proceeding | |
| 140 110 | 240 55 | Petition to revive - unavoidable | |
| 141 1,280 | 241 640 | Petition to revive - unintentional | |
| 142 1,280 | 242 640 | Utility issue fee (or reissue) | |
| 143 430 | 243 215 | Design issue fee | |
| 144 580 | 244 290 | Plant issue fee | |
| 122 130 | 122 130 | Petitions to the Commissioner | |
| 123 50 | 123 50 | Petitions related to provisional applications | |
| 126 180 | 126 180 | Submission of Information Disclosure Stmt | |
| 581 40 | 581 40 | Recording each patent assignment per property (times number of properties) | |
| 146 690 | 246 345 | Filing a submission after final rejection (37 CFR 1.129(a)) | |
| 149 690 | 249 345 | For each additional invention to be examined (37 CFR 1.129(b)) | |

Other fee (specify) _____

Other fee (specify) _____

Reduced by Basic Filing Fee Paid **SUBTOTAL (3) (\$)** **65.00**

SUBMITTED BY

| | | | |
|-----------------------|-------------------------------------------------------------------------------------|-------------|----------|
| Typed or Printed Name | Tom Hunter | Reg. Number | 38,498 |
| Signature |  | Date | 04/19/02 |

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, DC 20231 on this date: **April 19, 2002**

| | | | |
|-----------------------|-------------------------------------------------------------------------------------|------|----------|
| Typed or Printed Name | Chianti Appling | Date | 04/19/02 |
| Signature |  | Date | 04/19/02 |